

COMOMAGINST 5040.1PC CH-1
N1
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COMOMAG INSTRUCTION 5040.1P CHANGE TRANSMITTAL 1

Subj: MOBILE MINE ASSEMBLY GROUP (MOMAG) ADMINISTRATIVE AND MATERIAL
(ADMAT) ASSESSMENT PROGRAM

Encl: (1) Revised Chapter 4
(2) Revised Chapter 6

1. Purpose. To promulgate change one to the basic instruction.

2. Action

a. Make the following pen and ink change: Chapter 5, section 5000, question 4, change reference to read www.navylearning.navy.mil.

b. Replace Chapter 4 of the basic instruction with revised Chapter 4.

c. Replace Chapter 6 of the basic instruction with revised Chapter 6.

//s//
T. W. AUBERRY

Distribution:
COMOMAGINST 5216.1T
List I
List II (Case A, Case B (COMINEWARCOM only))

CHAPTER 4 AIS SECURITY	
4000 GENERAL	
References: SECNAVINST 5239.3 OPNAVINST 5239.1B COMLANTFLTINST 5239.1 CHG-1 COMINSEWARCOMINST 5239.1D COMOMAGINST 5230.1C COMOMAGINST 5239.1D	
1. Does the command have an Information Systems Security Manager (ISSM) appointed in writing?	YES NO
2. If the command has a terminal installed from which a remote computer system (i.e. DFAS terminal) is accessed, does the command have:	
a. A Terminal Area Security Officer (TASO) appointed in writing?	YES NO
b. An updated list of authorized terminal users?	YES NO
c. A copy of the remote activity's AIS Security instructions available?	YES NO
3. If the command has a computer network installed, is a Network Security Officer (NSO) appointed in writing? (May be ISSM; must have separate appointment letters.)	YES NO
4. Does the command have an Information Assurance Vulnerability Alert (IAVA) Point of Contact (POC) appointed in writing? Does the command have:	YES NO
a. Has an IAVA Online Compliance Reporting System (OCRS) account been activated via OCRS website https://www.iava.navy.mil	YES NO
b. Are IAVA, IAVB, and CTO reports being reported and maintained in compliance with OCRS procedures?	YES NO
5. Are command IS systems and/or computer networks accredited in accordance with current security instructions? Does the command have:	
a. An Activity IS Security Plan (AISSP) on file?	YES NO
b. A current risk assessment on file?	YES NO
c. An approved IS contingency plan on file?	YES NO
d. An approved back-up support agreement in place?	YES NO
e. A completed Security Test & Evaluation document?	YES NO
f. A statement of accreditation that is less than three years old?	YES NO
g. A current System Security Authorization Agreement (SSAA) on file?	YES NO
6. Are proper IS security procedures observed? Does the command have:	

a. A modem installed in any CLASSIFIED network workstations?	YES NO
b. Communications software installed on any classified network workstation?	YES NO
c. Stand alone workstations in place for unclassified data communications?	YES NO
d. Does the command have a continuing IS Security awareness training program in place? Date of last training?	YES NO
7. Does the command have a computer virus protection program in place?	YES NO
a. Is anti-virus software installed on command workstations and/or computer networks?	YES NO
b. Are the latest signature files being applied as they are published?	YES NO
c. Is virus awareness included in AIS security training?	YES NO
8. Do command IS systems carry labels identifying the highest security classification which may be processed on those systems?	YES NO
9. Are user IDs and passwords used to control access to command IS systems and computer networks?	YES NO
a. Are passwords eight characters in length?	YES NO
b. Are passwords changed every ninety days?	YES NO
10. Are adequate safeguards in place to protect IS equipment, software and data?	YES NO
a. Does the command have a current inventory of all IS hardware on file?	YES NO
b. Does the command's inventory match the inventory reflected in COMOMAG's inventory data set?	YES NO
c. Is AIS equipment stored in secure spaces outside normal working hours?	YES NO
d. Are adequate access controls to spaces in which IS equipment is installed and/or classified processing is performed in place?	YES NO
e. Are IS systems provided dedicated power outlets?	YES NO
f. Are IS systems protected by surge suppressors/UPS systems?	YES NO
g. Are IS systems cleaned on a regular basis? Do both the interior and exterior indicate equipment receives regular cleaning?	YES NO
h. If overhead plumbing or sprinkler systems are located in spaces in which IS equipment is installed, are plastic covers available to protect AIS equipment from water damage?	YES NO
i. Does command have a current software inventory?	YES NO
j. Are software disks/CDs stored in a secure space?	YES NO

k. Are back-up copies of application software disks and documentation stored in a secure off-site location?	YES	NO
11. Are proper data protection safeguards being observed?	YES	NO
a. Is classified information processing/storage restricted to systems located in secure spaces or equipped with removable drives only?	YES	NO
b. Are users required to store critical data on network drives vs Local hard drive?	YES	NO
c. Are proper diskettes/CD/zip disks controls in place?	YES	NO
(1) Are diskette/zip disks assigned a control number and issued to users?	YES	NO
(2) Are classified CD's assigned a control number?	YES	NO
(3) Is a diskette/zip disk inventory maintained?	YES	NO
(4) Are quarterly inventories of diskettes/zip disks and classified CDs conducted?	YES	NO
(5) Do data diskettes/zip disks contain proper classification labels?	YES	NO
d. Is data contained on workstation hard drives and/or computer networks routinely copied (backed-up) to magnetic tape?	YES	NO
e. Are back-up tapes stored in secure locations outside the immediate area of the workstation or network on which the data is stored?	YES	NO
f. Has an off-site tape storage location been identified and used?	YES	NO
g. Does the command have a current inventory of all back-up tapes used by the command?	YES	NO
h. Are defective hard drives/diskettes destroyed in accordance with current instructions?	YES	NO
i. Does the command have a back-up SOP?	YES	NO
12. Does the command have an AIS PQS program in place?	YES	NO
a. Have PQS Petty Officers been designated in writing?	YES	NO
b. Have IS users completed appropriate PQS qualifications as documented in training records?	YES	NO
c. Are new users briefed on AIS measures and policies during or at check-in?	YES	NO
d. Is AIS training being conducted semiannually to all users?	YES	NO
13. Are personal systems being used for official business?	YES	NO
14. Are command systems being used for other than official business?	YES	NO
15. Are DPVS updates received and entered as required? Are appropriate personnel trained in its use?	YES	NO

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16. Is the command using TURBOPREP 3.0 to create naval messages?	YES	NO
17. Are sufficient personnel trained in the use of DMS/GATEGUARD systems to ensure a message processing capability is available at all times?	YES	NO
18. Does the command have a DMS/GATEGUARD SOP?	YES	NO
19. Is the command abusing software copyright laws?	YES	NO
a. Are games installed on workstations? (no games of any sort are allowed)	YES	NO
b. Do workstations have personal software installed? (screen savers, Turbo Tax, etc.)	YES	NO
c. Are command personnel allowed to borrow software for installation from personal systems.	YES	NO
20. Are current INTERNET policies posted near Internet Systems?	YES	NO
a. Have current DOD/DON Internet Policies been incorporated in the training program?	YES	NO
b. Are Internet systems monitored for illegal use?	YES	NO
c. Are violations being reported to the ISSM?	YES	NO
d. Have all DOD computer users signed and acknowledged DOD system usage? (Military: Page-13 entry, Civilian: signed User Agreement)	YES	NO
21. For CONUS NMCI units:		
a. Does the command have a current User to CLIN and User to Applications mapping?	YES	NO
b. Are records of Move, Add, Change (MAC) request being maintained?	YES	NO
c. Are monthly invoices being promptly certified?	YES	NO
d. Are records of monthly invoices being maintained?	YES	NO
22. For OCONUS BLII units:		
a. If available, have local sources for computer hardware maintenance support been identified?	YES	NO
b. Are records of funding requirement submissions to COMOMAG maintained?	YES	NO
c. Are written Off-site Support Agreements with activities in the unit's local area maintained?	YES	NO
d. Are records of annual BLII requirement submissions to COMOMAG maintained? (Utilized by COMOMAG N6 to generate POM, LCM and Funding requests)	YES	NO

CHAPTER 6 SPECIAL INTEREST ITEMS	
6000 SUBSTANCE ABUSE PREVENTION AND CONTROL PROGRAM	
References: OPNAVINST 5350.4C COMOMAGINST 5350.1F COMINEWARCOMINST 5355.1D COMPACFLT/COMLANTFLTINST 5350.1	
1. Is there an effective Aftercare Program for personnel completing Level II through Level V rehabilitation?	YES NO
2. Is the aftercare regimen in writing?	YES NO
3. Are Drug/Alcohol Abuse Reports (DAARS) submitted on all alcohol and drug-related incidents? Are trends analyzed?	YES NO
4. Are appropriate Page 13 remarks entered into service records?	YES NO
5. Are letters on "Alcohol and Drug Abuse Program Entry Statement" and the "Alcohol and Drug Abuse Program Regimen" for levels 5-4 completed?	YES NO
6. Is the "Alcohol and Drug Program Completion Statement" letter given to members after formal treatment? (Not required upon completion of Level I).	YES NO
7. Is a Drug and Alcohol Program Advisor (DAPA) assigned in writing with permission to view medical and personnel records?	YES NO
8. Is the DAPA familiar with the Right Spirit Campaign?	YES NO
6001 URINALYSIS PROGRAM	
References: OPNAVINST 5350.4C COMOMAGINST 5350.1H	
1. Are letters of designation for the Urinalysis Program Coordinator (UPC) and Asst UPC current?	YES NO
2. Documented training current?	YES NO
a. UPC	
b. Asst UPCs	YES NO
3. Are the following instructions, messages and guidelines on-hand:	YES NO
a. OPNAVINST 5350.4C, Drug and Alcohol Abuse Prevention and Control.	
b. COMOMAGINST 5350.1H, Substance Abuse Prevention and Control.	YES NO
c. SECNAVINST 5300.28C, Military Substance Abuse Prevention and Control.	YES NO

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d. Urinalysis Program Coordinator Handbook, January 2000. (V5.1.6)	YES	NO
4. Counter Drug Program V5.0a being used?	YES	NO
a. Command roster size	YES	NO
b. Testing history update current?	YES	NO
c. Testing parameters Set IAW COMOMAG P4 (MIN setting 30%, MAX setting 40%)	YES	NO
d. Monthly AVG goal being met (past 12 months) (Print XO multiple month report for info) AVG percent	YES	NO
5. Are the following urinalysis ledger elements maintained for two years?	YES	NO
a. Urinalysis Observer Briefing Sheet (Encl 2)	YES	NO
b. Specimen Custody Document (DD 2624)	YES	NO
c. Urinalysis Register	YES	NO
6. Are Urinalysis Collection Procedures being used? (Appendix B)	YES	NO
7. Specimen Storage Area Access Control	YES	NO
6002 CAREER COUNSELOR		
References: COMPACFLT/COMLANTFLTINST 1040.1E Retention Team Manual, NAVPERS 15878H OPNAVINST 1900.2 BUPERS on line		
1. Are required interviews conducted per requirements in the Retention Team Manual?	YES	NO
2. Is a copy of DDFORM 2648 being retained in service record documenting separation counseling?	YES	NO
3. Is there an established Career Development Board (CDB)?	YES	NO
4. Is every member in command registered with Navy Knowledge Online (NKO)?	YES	NO
5. Are educational opportunities posted throughout the command?	YES	NO
6. Are members informed of the 5 Vector Model?	YES	NO
7. Are separating/retiring service members attending the Transition Assistance Program (TAP) class?	YES	NO
8. Are service members, within 6-12 years of service, attending the Career Options and Navy Skills Evaluation Program (CONSEP)?	YES	NO
9. Is the ARGUS Survey being used as a CCC tool?	YES	NO
6003 HEALTH AND PHYSICAL READINESS		
Reference: OPNAVINST 6110.1F Physical Readiness Information Management System (PRIMS)		
1. Is a Command Fitness Leader (CFL) designated in writing?	YES	NO

2. Has the CFL completed COMNAVPERSCOM-approved CFL training course?	YES NO
3. Does the Command Fitness Leader maintain individual records of all command personnel?	YES NO
4. Is the latest version of Physical Readiness Information Management System (PRIMS) being used?	YES NO
5. Is a completed and signed risk assessment questionnaire on file for each member?	YES NO
6. Have personnel been medically cleared using the SF 600 to participate in a conditioning/PFA program if they answered yes to any question on the questionnaire?	YES NO
7. If member was waived from physical portion of PFA, was the body composition still conducted?	YES NO
8. Is a fitness enhancement program in place and documentation of participation for those who are required to participate in?	YES NO
9. Has a Page 13 entry been submitted to Admin for PFA failures?	YES NO
10. Are members being permitted time for fitness training per OPNAVINST 6110.1F	YES NO
11. Were risk screening and body compositions conducted within time limits established by OPNAVINST 6110.1F	YES NO
12. Are health and physical Readiness materials posted through out the Command?	
6004 NAVY SPONSOR PROGRAM Reference: OPNAVINST 1740.3A COMOMAGINST 1750.1K	
1. Are Fleet and Family Service Centers used to the fullest extent?	YES NO
2. Are sponsors assigned in a timely manner?	YES NO
3. Are sponsors given guidance on their responsibilities?	YES NO
4. Have sponsors attended training at Fleet and Family Service Centers or at the command?	YES NO
5. Are welcome aboard letters and packages sent to all newly reporting personnel?	YES NO
6005 EQUAL OPPORTUNITY CHECKLIST References: OPNAVINST 5354.1E COMOMAGINST 5354.1	
a. Navy Rights and Responsibility (NR&R) workshop and command specific training.	YES NO
1. Is the command ensuring personnel are attending NR&R workshops for all newly reporting personnel within 90 days of reporting?	YES NO
2. Is NR&R Workshop training documented in each member's training record or service record?	YES NO

3. Is the command conducting annual command-specific training for all hands?	YES NO
4. Is the command conducting an annual command climate assessment per COMOMAGINST 5354.1?	YES NO
b. POLICY AND PROCEDURES	
1. Is the EO manual complete as required in OPNAVINST 5354.1E?	YES NO
2. Has the CO/OIC clearly and strongly stated command policy on EO in writing, including the prevention of sexual harassment, grievance procedures, fraternization, sexual assault prevention and awareness, and prohibiting reprisals against individuals who submit complaints? Is policy issued throughout the command?	YES NO
3. Is command policy consistent with current DOD, SECNAV and OPNAV directives?	YES NO
4. Has the CO/OIC ensured that all hands have received Informal Resolution System (IRS) skills training?	YES NO
5. Are command personnel apprised of their rights and responsibilities regarding submitting a formal complaint?	YES NO
6. Is the NAVPERS 5354/2, Navy Equal Opportunity (EO)/Sexual Harassment (SH) Formal Complaint Form, readily available to command personnel? Are command personnel aware of the avenues for a formal complaint?	YES NO
7. Are posters displayed so all hands are aware of sexual harassment/discrimination complaint procedures, the EO/SH advice line, and the IRS?	YES NO
8. Is annual sexual harassment training conducted? Is sexual harassment training documented on Page 13 in service record?	YES NO
9. Are complaints tracked to ensure resolution?	YES NO
10. Are discrimination and sexual harassment cases not resolved within 14 days reported to CNO via OPREP-3 and follow-on SITREPS?	YES NO
11. Does the command acknowledge ethnic observances?	YES NO
12. If assigned, are EOAs fully employed? If an EOA is not assigned, are EOAs requested for assistance on EO matters?	YES NO
c. CAREER DEVELOPMENT	
1. Are minorities and women given equal opportunity in assignments?	YES NO
2. Have qualified personnel been identified, encouraged and counseled to apply for commissions?	YES NO
3. Are assignments and collateral duties being made on the basis of talent and ability?	YES NO

4. Is the service member's support of equal opportunity considered when he/she is being evaluated? Are command members aware that this is an important area of evaluation?	YES NO
5. Do supervisors participate in unit equal opportunity training as instructors, discussion leaders or as resources for answering questions?	YES NO
<p>6006 SENIOR ENLISTED LEADER RESPONSIBILITIES</p> <p>Senior Enlisted Leaders (SEL) report directly to their respective Commanding Officer's in formulating and implementing policies concerning morale, welfare, job satisfaction, discipline, utilization, and training of all enlisted personnel in their command's. As such, Senior Enlisted Leader's function as an integral and vital element in the chain of command. The success or failure of many programs can be directly related to the level of Senior Enlisted Leader involvement and oversight. The following programs, although not totally inclusive, are representative of the involvement and oversight expected of all MOMAG collateral duty Senior Enlisted Leader's.</p> <p>References: OPNAVINST 1306.2D OPNAVINST 1040.11 OPNAVINST 1740.3A OPNAVINST 1740.5A OPNAVINST 1750.1D OPNAVINST 6110.1F COMOMAGINST 1400.1 COMOMAGINST 1700.1 COMOMAGINST 1650.1</p>	
1. Is there documentation supporting recurring barracks inspections by senior personnel?	YES NO
2. Is command in compliance with Mentoring Program policy as outlined in COMOMAGINST 1400.1	YES NO
3. Is there a Command Financial Specialist assigned?	YES NO
a. Are records of financial counseling reviewed by the Senior Enlisted Leader?	YES NO
b. Is there a documented ongoing record of Financial Management Training and Counseling?	YES NO
4. Is the Morale Welfare and Recreation Program documented in formal command instruction?	YES NO
a. Is the Senior Enlisted Leader involved as an Advisor to the MWR Committee?	YES NO
b. Are MWR financial records reviewed by the chain of command and routinely audited?	YES NO
c. Are MWR Financial Reports posted or made available to the crew for review?	YES NO
5. Is there a documented Professional Military Training Program in place?	YES NO

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6. Is there a Command Sponsor Program documented in a formal command instruction?	YES	NO
7. Is there a formal command instruction on Career Development Boards (CDB)?	YES	NO
a. Are CDB's held regularly?	YES	NO
b. Are results of CDB reviewed by the chain of command and followed up?	YES	NO
8. Is there a formal command Orientation or Indoctrination Program in place and utilized?	YES	NO
9. Are all eligible personnel tracked for LTC/CPO and PO INDOC coursed?	YES	NO
10. Is there a Retention Team onboard and is there documentation supporting regular meetings?	YES	NO
11. Is Senior Enlisted Leader exercising direct leadership of SOY/SOQ Programs and boards?	YES	NO
12. Is there an Awards Board in place and Senior Enlisted Leadership of SOY/SOQ Programs and boards?	YES	NO
13. Is Senior Enlisted Leader exercising oversight and mentoring before/during/after and CPO Initiation process?	YES	NO
14. Does the Senior Enlisted Leader meet/speak with the command Ombudsman on a regular basis?	YES	NO
15. Does the Senior Enlisted Leader attend recurring base CMC meetings?	YES	NO
16. Does command have a Commanding Officer/Officer -in - Charge Suggestion Box? Does crew know where it is located?	YES	NO
a. Does Senior Enlisted Leader advise/support the commanding officer with each suggestion received?	YES	NO
17. Is Senior Enlisted Leader communicating regularly with all detailers for ratings assigned to the command?	YES	NO
18. Is a formal Disciplinary Review Board process in place and being utilized?	YES	NO
19. Is Senior Enlisted Leader ensuring all applicable Advisory Board (NEX/Commissary) meetings are being attended and results passed to crew	YES	NO
20. Does Senior Enlisted Leader review Urinalysis Program operation and directive compliance?	YES	NO
21. Is there an active command Physical Readiness Program in place?	YES	NO
a. Are all command members participating as directed?	YES	NO
B. Does the Senior Enlisted Leader routinely review and track waivers and the medical status of all command personnel?	YES	NO
6007 SORTS REPORTING		
Reference: NWP 1-03.3		
1. Are SORTS/SORTSREPNV reports submitted in a timely manner?	YES	NO
2. Is the command SORTS file classified for the highest classification of an individual SORTS?	YES	NO
3. Are SORTS serial number sequence listed between 001-999?	YES	NO
4. Is the latest version of TRMS software being used to write SORTS/SORTSREPNV?	YES	NO